

GP2834

TRANSMITTAL LETTER			Case No. 8864/23
Serial No. 09478,268	Filing Date December 15, 2000	Examiner Not Yet Assigned	Group Art Unit 2834
Inventor(s) Dennis K. Lieu et al.			
Title of Invention SPINDLE MOTOR WITH ENCAPSULATED STATOR AND METHOD OF MAKING SAME			

46
705
8-27-01

TO THE COMMISSIONER FOR PATENTS

Transmitted herewith is Transmittal Letter (in duplicate), Information Disclosure Statement, PTO-1449 form, copies of references A1 - A129 and return post card.

- ☐ Small entity status of this application under 37 CFR § 1.27 has been established by verified statement previously submitted.
- ☐ A verified statement to establish small entity status under 37 CFR §§ 1.9 and 1.27 is enclosed.
- ☐ Petition for a _____ month extension of time.
- ☐ No additional fee is required.
- ☐ The fee has been calculated as shown below:

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	Claims Remaining After Amendment		Highest No. Previously Paid For	Present Extra
Total		Minus		
Indep.		Minus		
First Presentation of Multiple Dep. Claim				

Small Entity

Rate	Add'l Fee
x \$9=	
x 39=	
+\$130 =	
Total add'l fee	\$

or

Other Than Small Entity

Rate	Add'l Fee
x \$18=	
x \$78=	
+ \$260=	
total add'l fee	\$

- ☐ Please charge Deposit Account No. 23-1925 (BRINKS HOFER GILSON & LIONE) in the amount of \$_____. A duplicate copy of this sheet is enclosed.
- ☐ A check in the amount of \$_____ to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge payment of any additional filing fees required under 37 CFR § 1.16 and any patent application processing fees under 37 CFR § 1.17 associated with this communication or credit any overpayment to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.
- ☒ I hereby petition under 37 CFR § 1.136(a) for any extension of time required to ensure that this paper is timely filed. Please charge any associated fees which have not otherwise been paid to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

Steven P. Shurtz

Steven P. Shurtz
Registration No. 31,424
Attorney for Applicants

BRINKS HOFER GILSON & LIONE
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CHICAGO, ILLINOIS 60610
(312) 321-4200

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail, with sufficient postage, in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231, on July 25, 2001.

Date: 7/25/01

Signature: Steven P. Shurtz

In compliance with the duty of disclosure under 37 C.F.R. § 1.56, it is respectfully requested that this Information Disclosure Statement be entered and the documents listed below and on the attached Form PTO-1449 be considered by the Examiner and made of record. Copies of the listed documents required by 37 C.F.R. § 1.98(a)(2) are enclosed.



U. S. PATENT DOCUMENTS

DOCUMENT NUMBER	DATE	NAME
3,590,328	06/29/1971	Bert L. Frescura
3,638,055	01/25/1972	Zimmermann
3,874,073	04/01/1975	Dochterman et al.
3,942,054	03/02/1976	Kristen et al.
3,979,530	09/07/1976	Schwider et al.
4,128,527	12/05/1978	Kinjo et al.
4,352,897	10/05/1982	Ogata et al.
4,387,311	06/07/1983	Kobayashi et al.
4,492,889	01/08/1985	Fukushi et al.
4,572,979	02/25/1986	Haar et al.
4,679,313	07/14/1987	Schultz et al.
4,760,299	07/26/1988	Dickie et al.
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4,855,853	08/08/1989	Matsushita et al.
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4,868,970	09/26/1989	Schultz et al.
4,954,739	09/04/1990	Schultz et al.
5,008,572	04/16/1991	Marshall et al.
5,036,580	08/06/1991	Fox et al.
5,073,735	12/17/1991	Takagi
5,075,585	12/24/1991	Teruyama et al.
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5,134,327	07/28/1992	Sumi et al.
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5,331,483	07/19/1994	Muller et al.
5,334,897	08/02/1994	Ineson et al.
5,345,129	09/06/1994	Molnar
5,382,852	01/17/1995	Yuhi et al.
5,396,210	03/07/1995	Purohit et al.
5,400,218	03/21/1995	Val
5,414,317	05/09/1995	Reid et al.
5,461,772	10/31/1995	Puri
5,500,780	03/19/1996	Boutaghou et al.
5,506,458	04/09/1996	Pace et al.
5,541,787	07/30/1996	Jabbari et al.
5,548,458	08/20/1996	Pelstring et al.
5,558,445	09/24/1996	Chen et al.
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5,587,617	12/24/1996	Dunfield et al.
5,598,048	01/28/1997	Dunfield et al.
5,610,463	03/11/1997	Dunfield et al.
5,619,083	04/08/1997	Dunfield et al.
5,619,389	04/08/1997	Dunfield et al.
5,621,372	04/15/1997	Purohit
5,633,545	05/27/1997	Albrecht et al.
5,664,314	09/09/1997	Pelstring et al.



DOCUMENT NUMBER	DATE	NAME
5,666,242	09/09/1997	Edwards et al.
5,668,427	09/16/1997	Morita
5,672,927	09/30/1997	Viskochil
5,675,196	10/07/1997	Huang et al.
5,675,201	10/07/1997	Komura et al.
5,694,268	12/02/1997	Dunfield et al.
5,698,919	12/16/1998	Obara
5,728,600	03/17/1998	Saxelby, Jr. et al.
5,729,404	03/17/1998	Dunfield et al.
5,742,450	04/21/1998	Moser
5,751,085	05/12/1998	Hayashi
5,751,514	05/12/1998	Hyde et al.
5,766,535	06/16/1998	Ong
5,783,888	07/21/1998	Yamano
5,793,129	08/11/1998	Parsonneault et al.
5,806,169	09/15/1998	Trago et al.
5,814,412	09/29/1998	Terada et al.
5,822,846	10/20/1998	Moritan et al.
5,831,355	11/03/1998	Oku
5,850,318	12/15/1998	Dunfield
5,880,179	03/09/1999	Ito et al.
5,881,447	03/16/1999	Molnar
5,942,824	08/24/1999	Shioya et al.
5,958,466	09/28/1999	Ong
5,973,424	10/26/1999	Engelberger et al.
5,982,057	11/09/1999	Imada et al.
5,986,365	11/16/1999	Kuwert et al.
5,990,247	11/23/1999	Terada et al.
6,002,185	12/14/1999	Nakao et al.
6,019,516	02/01/2000	Leuthold et al.
6,020,661	02/01/2000	Trago et al.
6,034,841	03/07/2000	Albrecht et al.
6,043,583	03/28/2000	Kurosawa et al.
6,071,014	06/06/2000	Lee et al.
6,075,304	06/13/2000	Nakatsuka
6,102,636	08/15/2000	Geise
6,148,501	11/21/2000	Grantz et al.
6,163,952	12/26/2000	Takehara
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FOREIGN PATENT DOCUMENTS

DOCUMENT NUMBER	DATE	COUNTRY
DE 25 39 492 A1	03/10/77	Germany
870.878	01/15/79	Belgium
891.258	03/16/82	Belgium
SU 1334297	08/30/87	Soviet Union
SU 1494148	07/15/89	Soviet Union
01190256	07/31/89	Japan
01291652	11/24/89	Japan



DOCUMENT NUMBER	DATE	COUNTRY
2 647 958	12/07/90	France
03128645	05/31/91	Japan
WO 92/06532	04/16/92	WIPO
DE 42 21 429 A1	06/30/92	Germany
05336722	12/17/93	Japan
WO 96/20501	07/04/96	WIPO
08186953	07/16/96	Japan
WO 96/33533	10/24/96	WIPO
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WO 97/39870	10/30/97	WIPO
10070870	03/10/98	Japan
410271719	10/09/1998	Japan
EP 0 883 171 A1	12/09/98	EPO
11082508	03/26/99	Japan
WO 01/10002 A2	02/08/01	WIPO

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

LNP Engineering Plastics, Advertisement entitled "Konduit™ Thermally Conductive Composites," undated, but prior to July 29, 1999 (2 pages)
Product Information from Dupont Engineering Polymers entitled "Electrical/Electronic Thermoplastic Encapsulation," undated, but prior to July 29, 1999, Publ. Reorder No.: H-58633 (R, 96.7), 20 pages.
LNP Engineering Plastics, Press Release entitled "LNP Introduces First-Ever Line of Thermally Conductive Compounds," January 28, 1999 (2 pages)
Buchanan Motor Works, Inc., article from the Internet entitled "Epoxy Seal - Prevents Down Time and Keeps Equipment Running Longer," 07/14/99, < http://www.bmwworks.com/VIP.htm >, 1 page.
The Epoxylite Corporation, article from the Internet entitled "Vacuum Pressure Impregnation (VPI) Systems", 11/19/99, < http://www.epoxylite.com/EpoxyliteEquipment.htm >, 3 pages.
Neeltran Inc., article from the Internet entitled "Vacuum Pressure Impregnation (VPI)", 11/19/99, < http://www.neeltran.thomasregister.com/olc/neeltran/neel9.htm > 2 pages.
Document entitled "Thermoplastic Encapsulation, Technology, Markets & Benefits," undated, but prior to December 22, 1998 (37 pages)

U.S. Patent Applications			
	Filing Date	Serial No.	
A1	Dec. 22, 1999	09/470,424	copy of claims as filed enclosed
A2	Dec. 22, 1999	09/470,425	copy of claims as filed enclosed
A3	Dec. 22, 1999	09/470,426	copy of claims as filed enclosed
A4	Dec. 22, 1999	09/470,427	copy of claims as filed enclosed
A5	Dec. 22, 1999	09/470,428	copy of claims as filed enclosed
A6	Dec. 22, 1999	09/470,429	copy of claims as filed enclosed
A7	Dec. 22, 1999	09/470,430	copy of claims as filed enclosed
A8	Dec. 22, 1999	09/470,431	copy of claims as filed enclosed
A9	Dec. 22, 1999	09/470,432	copy of claims as filed enclosed
A10	Dec. 22, 1999	09/470,433	copy of claims as filed enclosed
A11	Dec. 22, 1999	09/470,434	copy of claims as filed enclosed



The specifications for the applications A1-A11 listed above are nearly identical to each other and to PCT Publication WO 01/10002, which is enclosed. Hence, only a copy of the claims of those applications are enclosed. Most of the references are in English. However, for the non-English references, a copy of an English language abstract is enclosed, except for German Patent No. DE 42 21 429 A1. U.S. Patent No. 5,331,483, also enclosed, corresponds to the German patent. The abstracts provide an explanation of the relevance of the non-English references to the best understanding of Applicants and their Attorney.

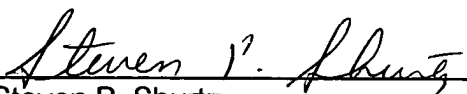
Also enclosed is a copy of a search report dated May 9, 2001 from a search conducted on a PCT application corresponding to the present case.

The enclosed reference entitled "Thermoplastic Encapsulation" is a copy of presentation materials used by one of the inventors during a presentation made to a possible customer between July 29, 1998 and December 22, 1998.

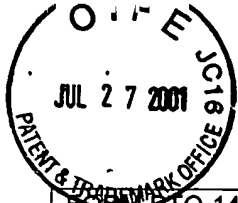
This Information Disclosure Statement is being filed prior to the receipt of the first Official Action reflecting an examination on the merits and hence is believed to be timely filed in accordance with 37 C.F.R. § 1.97(b). No fees are believed to be due in connection with filing of this Information Disclosure Statement. However, should any fees under 37 C.F.R. §§ 1.16 to 1.21 be deemed necessary for any reason relating to these material, the Commissioner is hereby authorized to deduct said fees from Brinks Hofer Gilson & Lione Deposit Account No. 23-1925.

Applicants respectfully request that the listed documents be made of record in the present case.

Respectfully submitted,


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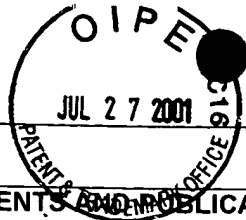
PTO-1449		SERIAL NO. 09/738,268	CASE NO. 8864/23
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT		FILING DATE December 15, 2001	GROUP ART UNIT 2834
(use several sheets if necessary)		APPLICANT(S): Dennis K. Lieu	

REFERENCE DESIGNATION U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS/ SUBCLASS	FILING DATE
	A1	3,590,328	06/29/1971	Bert L. Frescura		
	A2	3,638,055	01/25/1972	Zimmermann		
	A3	3,874,073	04/01/1975	Dochterman et al.		
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	A7	4,352,897	10/05/1982	Ogata et al.		
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	A11	4,679,313	07/14/1987	Schultz et al.		
	A12	4,760,299	07/26/1988	Dickie et al.		
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	A26	5,147,982	09/15/1992	Steffen		
	A27	5,206,554	04/27/1993	Perrot		
	A28	5,268,607	12/07/1993	McManus		
	A29	5,331,483	07/19/1994	Muller et al.		
	A30	5,334,897	08/02/1994	Ineson et al.		
	A31	5,345,129	09/06/1994	Molnar		
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	A33	5,396,210	03/07/1995	Purohit et al.		
	A34	5,400,218	03/21/1995	Val		
	A35	5,414,317	05/09/1995	Reid et al.		
	A36	5,461,772	10/31/1995	Puri		
	A37	5,500,780	03/19/1996	Boutaghou et al.		

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



FORM PTO-1449	SERIAL NO. 09/738,269	CASE NO. 8864/23
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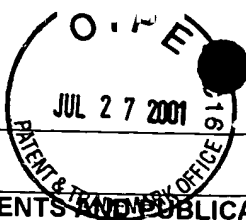
U.S. PATENT DOCUMENTS

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	A38	5,506,458	04/09/1996	Pace et al.		
	A39	5,541,787	07/30/1996	Jabbari et al.		
	A40	5,548,458	08/20/1996	Pelstring et al.		
	A41	5,558,445	09/24/1996	Chen et al.		
	A42	5,579,188	11/26/1996	Dunfield et al.		
	A43	5,587,617	12/24/1996	Dunfield et al.		
	A44	5,598,048	01/28/1997	Dunfield et al.		
	A45	5,610,463	03/11/1997	Dunfield et al.		
	A46	5,619,083	04/08/1997	Dunfield et al.		
	A47	5,619,389	04/08/1997	Dunfield et al.		
	A48	5,621,372	04/15/1997	Purohit		
	A49	5,633,545	05/27/1997	Albrecht et al.		
	A50	5,664,314	09/09/1997	Pelstring et al.		
	A51	5,666,242	09/09/1997	Edwards et al.		
	A52	5,668,427	09/16/1997	Morita		
	A53	5,672,927	09/30/1997	Viskochil		
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	A58	5,728,600	03/17/1998	Saxelby, Jr. et al.		
	A59	5,729,404	03/17/1998	Dunfield et al.		
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	A61	5,751,085	05/12/1998	Hayashi		
	A62	5,751,514	05/12/1998	Hyde et al.		
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	A64	5,783,888	07/21/1998	Yamano		
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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS/ SUBCLASS	TRANSLATION YES	NO
	A90	DE 25 39 492 A1	03/10/77	Germany		Abstract	
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	A92	891.258	03/16/82	Belgium		Abstract	
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	A94	SU 1494148	07/15/89	Soviet Union		Abstract	
	A95	01190256	07/31/89	Japan		Abstract	
	A96	01291652	11/24/89	Japan		Abstract	
	A97	2 647 958	12/07/90	France		Abstract	
	A98	03128645	05/31/91	Japan		Abstract	
	A99	WO 92/06532	04/16/92	WIPO			
	A100	DE 42 21 429 A1	06/30/92	Germany			X
	A101	05336722	12/17/93	Japan		Abstract	
	A102	WO 96/20501	07/04/96	WIPO			
	A103	08186953	07/16/96	Japan		Abstract	
	A104	WO 96/33533	10/24/96	WIPO			
	A105	EP 0 747 943 A2	12/11/96	EPO			
	A106	WO 97/39870	10/30/97	WIPO			
	A107	10070870	03/10/98	Japan		Abstract	
	A108	410271719	10/09/1998	Japan		Abstract	
	A109	EP 0 883 171 A1	12/09/98	EPO		Abstract	
	A110	11082508	03/26/99	Japan		Abstract	

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	A111	WO 01/10002 A2	02/08/01	WIPO	

EXAMINER INITIAL	OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)	
	A112	LNP Engineering Plastics, Advertisement entitled "Konduit™ Thermally Conductive Composites," undated (2 pages)
	A113	Product Information from Dupont Engineering Polymers entitled "Electrical/Electronic Thermoplastic Encapsulation," undated, Publ. Reorder No.: H-58633 (R, 96.7), 20 pages.
	A114	LNP Engineering Plastics, Press Release entitled "LNP Introduces First-Ever Line of Thermally Conductive Compounds," January 28, 1999 (2 pages)
	A115	Buchanan Motor Works, Inc., article from the Internet entitled "Epoxy Seal - Prevents Down Time and Keeps Equipment Running Longer," 07/14/99, < http://www.bmwworks.com/VIP.htm >, 1 page.
	A116	The Epoxylite Corporation, article from the Internet entitled "Vacuum Pressure Impregnation (VPI) Systems", 11/19/99, < http://www.epoxylite.com/EpoxyliteEquipment.htm >, 3 pages.
	A117	Neeltran Inc., article from the Internet entitled "Vacuum Pressure Impregnation (VPI)", 11/19/99, < http://www.neeltran.thomasregister.com/olc/neeltran/neel9.htm > 2 pages.
	A118	Document entitled "Thermoplastic Encapsulation, Technology, Markets & Benefits," undated, but prior to December 22, 1998 (37 pages)

EXAMINER INITIAL	U.S. Patent Applications			
	Filing Date		Serial No.	
	A119	Dec. 22, 1999	09/470,424	copy of claims as filed enclosed
	A120	Dec. 22, 1999	09/470,425	copy of claims as filed enclosed
	A121	Dec. 22, 1999	09/470,426	copy of claims as filed enclosed
	A122	Dec. 22, 1999	09/470,427	copy of claims as filed enclosed
	A123	Dec. 22, 1999	09/470,428	copy of claims as filed enclosed
	A124	Dec. 22, 1999	09/470,429	copy of claims as filed enclosed
	A125	Dec. 22, 1999	09/470,430	copy of claims as filed enclosed
	A126	Dec. 22, 1999	09/470,431	copy of claims as filed enclosed
	A127	Dec. 22, 1999	09/470,432	copy of claims as filed enclosed
	A128	Dec. 22, 1999	09/470,433	copy of claims as filed enclosed
	A129	Dec. 22, 1999	09/470,434	copy of claims as filed enclosed

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.